

2018 - 2019

Certified Specialty Pharmacist™ (CSP™)

Recertification Handbook

Updated November 2018

SPCB Specialty Pharmacy
Certification Board

Specialty Pharmacy Certification Board

300 New Jersey Avenue, NW

Suite 900

Washington, DC 20001

CSP@naspnet.org

www.spcb.org

703.842.0122

© 2018 by the Specialty Pharmacy Certification Board. All rights reserved.

The policies and procedures specified in the CSP Recertification Handbook are subject to change without notice.

Table of Contents

I. Introduction	3
Specialty Pharmacy Certification Board	3
II. Maintaining Your Certification	4
Purpose.....	4
Recertification Requirements	4
Verification Process:.....	7
Failure to Recertify:.....	9
Reinstatement:.....	9
III. Code of Conduct	10
IV. Policies.....	13
Certification Verification	13
Confidentiality	13
Records Retention	13
Statement of Nondiscrimination.....	13
Statement of Compliance with all Laws	13
Use of the Credential	14
V. Complaints and Disciplinary Actions	15

I. Introduction

The Certified Specialty Pharmacist (CSP) credential has been developed to recognize individuals who have demonstrated intermediate knowledge and skill to provide competent specialty pharmacy services. The CSP credential is a key indicator to employers, manufacturers, patients, payers, additional healthcare providers, and the public at large that a pharmacist has proficiency in specialty pharmaceuticals.

Individuals who earn the CSP credential have demonstrated knowledge of the professional domains that encompass the tasks and knowledge required of a specialty pharmacy professional in various practice settings. By passing the CSP examination, pharmacy professionals not only display their aptitude in each specialized knowledge area, but also present their expertise in specialty pharmacy with a CSP credential.

Specialty Pharmacy Certification Board

The Specialty Pharmacy Certification Board (SPCB) was established in 2012 to oversee the development of credentialing for specialty pharmacists and related Specialty Pharmacy professionals, implement policies and procedures for these certification programs, and to oversee the development of the certification examination(s). In 2016, the SPCB Board became an independent division within the National Association of Specialty Pharmacy (NASP). The SPCB Board has the sole and exclusive authority for the CSP certification program and is dedicated to promote the specialty pharmacists responsibility in maintaining the highest possible quality standards to advance ethical practice and to advocate for professional development to ensure that patients served receive safe, efficient care now and in the future.

The SPCB is responsible for developing and overseeing all aspects of the organization and certification program as defined below.

The SPCB is solely responsible for essential decisions related to the development, administration, and ongoing maintenance of the certification program. The SPCB ensures that all application and eligibility requirements, examination development and administration, recertification requirements, and all certification program policies and procedures are directly related to the purpose of the each certification program.



II. Maintaining Your Certification

Purpose

SPCB supports the ongoing professional development of its certificants. The mandatory recertification process provides certificants with the opportunity to create an individualized professional development plan, demonstrate the reinforcement and expansion of their knowledge and skills, and retain their knowledge of current practice.

SPCB requires periodic recertification to promote professional development for specialty pharmacists to ensure that individuals who hold the CSP credential maintain an ongoing commitment to learning in their area(s) of practice to strengthen their knowledge and skills.

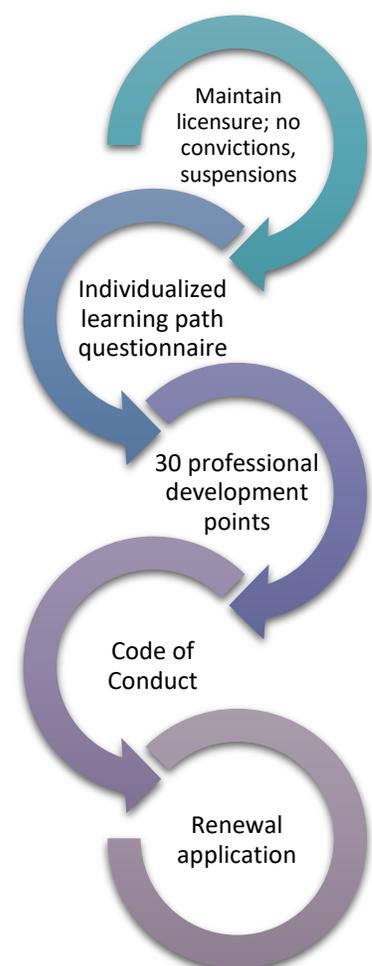
Recertification also provides encouragement to, and acknowledgement for, participation in ongoing professional development activities. To support this purpose, the recertification requirements require continuing education and professional development activities that enhance ongoing professional development, encourage opportunities for new learning, and provide a process for both planning and recording professional development achievements.

The two-year time period established for recertification is based on both the scope of issues that face specialty pharmacists and the SPCB's acknowledgement that new practices, research, and information are introduced in the field with enough frequency that professional development activities should be conducted routinely so that certificants remain up to date with both current best practices and emerging knowledge.

Recertification Requirements

Certification is valid for a two-year period from the date of certification indicated on each individual's certificate.

Recertification applications must be submitted at least 4 months before the certification expires. Certificants will receive a courtesy recertification reminder; however it is the responsibility of the certificant to submit a timely



recertification application and retain appropriate documentation of their continuing education activities.

To maintain an active certification status all certificants must:

1. Continually maintain an active US pharmacy license, with no restrictions or pending actions, in good standing. Any lapse in licensure or State Board suspension must be reported to SPCB within 15 days. Failure to report changes in pharmacy licensure status will be investigated under the Disciplinary Policy.
2. Have no previous history of felony convictions. Any conviction must be reported to SPCB within 15 days.
3. Complete an individualized learning path questionnaire. The questionnaire is designed to help inform and direct the professional development activities of each certificant.
4. Earn 30 Continuing Education (CE) credits. Each hour of continuing education is equal to 1 CE credit using one or both of the options below:
 - a. CE in Specialty Pharmacy: All CE must be ACPE accredited and/or NASP-approved. CE may include up to 10 hours of non-clinical courses, however all continuing education must be directly related to the practice of Specialty Pharmacy.
 - b. Certificate Program(s): Obtain a sub-qualification or complete a certificate program in an approved Specialty Pharmacy area. Each certificate course earns 15 professional development points.
5. Re-sign the Code of Conduct and maintain ongoing adherence to its requirements.
6. Submit a complete renewal application with all required documentation and fees by the published deadline.



Acceptable Continuing Education

All Continuing Education (CE) must be ACPE accredited and/or NASP approved. CE may include up to 10 hours of non-clinical courses, however all continuing education must be directly related to the practice of Specialty Pharmacy.

Recertification Acceptance

SPCB will issue a recertification confirmation notice to the certificant once all recertification requirements have been met. Recertification applications will not be accepted from individual's whose certification is in a state of suspension or that has been revoked.

All continuing education activities are subject to review and approval by SPCB. Credit is only granted after the activity has been completed and documented. Credit is not granted for time spent and networking or social functions or for breaks.

Recertification Due Dates

Recertification applications are due 4 months before CSP certification expires. Your expiration date is the last day of the month 2 years after you passed the exam. For example, CSP certification for individuals who passed the exam on April 15, 2018 will expire on April 30, 2020. Your expiration date is printed on your CSP certificate. All recertification applications are due 4 months prior to certification expiration as follows:

CSP Expiration Date	Recertification Due Date
April 30, 2019	December 31, 2018
October 31, 2019	June 30, 2019
February 28, 2020	October 31, 2019
April 30, 2020	December 31, 2019
October 31, 2020	June 30, 2020
November 30, 2020	July 31, 2020

Recertification Fee

The recertification fee is \$300.

When to Start — Completing the Individualized Learning Path

At the beginning of the 2 year recertification cycle each CSP should complete the brief Individualized Learning Path portion of the recertification application. This exercise will assist you in identifying 2-3 areas of focus for your professional development activities.

The learning path exercise is a requirement of the recertification process and should be completed early in your two year certification cycle. You will be directed to identify 2-3 of the areas listed below in which you plan to focus your continued professional development. Your areas of focus can serve as a guide for choosing relevant CE activities. You are not required to complete all of your CE in your identified areas of focus. You are encouraged to use your areas of focus to guide your CE choices. Later in the recertification application you will be asked how your practice has been impacted by your CE activities. This learning path tool is for self-assessment purposes only. Your choice of focus areas will be reviewed by SPCB but will not be "graded" or evaluated.

Areas of focus are listed below:

- *Autoimmune / immune (includes psoriasis)*
- *Cardiovascular (includes pulmonary arterial hypertension)*
- *CNS (includes multiple sclerosis, Alzheimer's disease)*
- *Growth hormone*
- *Hemophilia, bleeding disorders (includes renal disease)*
- *Hepatitis*
- *HIV / AIDS*
- *Inflammatory (includes rheumatoid arthritis, Crohn's disease)*
- *Metabolic diseases (includes diabetes, lysosomal storage diseases, Gaucher's disease)*
- *Oncology (includes blood cancers, breast, prostate, lung cancers)*
- *Ophthalmology*
- *Supporting care (e.g., anemia, blood modifiers)*
- *Transplants*
- *Other area of focus (to be defined by applicant)*



Completing the Online Recertification Application:

1. Log into your CSP account at <https://spcb.learningbuilder.com/>.
2. Select “CSP Recertification Application” and click the “Begin” button
3. **Early in Year 1 of your Certification Cycle:** Complete the CSP Individualized Learning Path portion of the application to select your professional development area(s) of focus. This portion of the application will take only a few minutes to complete.
4. **Throughout your Certification Cycle:** Log into your application to record continuing education activities as you earn them.

The activity date, ACPE number, title, requested units, and proof of completion for each activity must be included. You may enter each activity separately or upload a copy of your full CPE Monitor Activity Transcript(s) for the previous two years. When uploading a transcript be sure to circle or highlight those activities that are directly related to specialty certification that you are requesting credit for.

5. **Prior to your Recertification Due Date:** Complete your recertification application and submit your recertification fee.

Your application will be reviewed by SPCB prior to your certification expiration date. You will receive email confirmation when your application has been processed.

Verification Process:

In order to maintain the credibility and integrity of the certification process SPCB reserves the right to verify any information provided on recertification applications. Requests for verification may be made prior to recertification or at a future time. SPCB will review all recertification applications for completeness. A portion of recertification applications will be randomly selected for audit and additional verification procedures each year.

If any areas of non-compliance are identified during the audit (or any review of a recertification application) the individual will have 60 days to submit any required information. If the required information is not provided the individual’s certification will expire at the end of the 60 days or on the normal expiration date (whichever comes last).

Failure to Recertify:

Recertification is mandatory for all certificants. If certification is not renewed it will expire on the last day of the month two years after the certification was last earned. Individuals whose certification has expired or been suspended or revoked may not represent him/herself as an SPCB certificant and may not use the credential until he/she receives official notice that the recertification requirements have been satisfied or that certification status has been reinstated. SPCB reserves the right to notify a certificant's employer when certification is not renewed.

Reinstatement:

If certification has been expired for 60 days or less, an individual may reinstate his/her certification by meeting all of the recertification requirements, submitting a complete recertification application, and paying the recertification fee and reinstatement fee. If the application is approved, the individual's expiration date for the reinstated credential will be the same as if the certification had been renewed on time.

If certification has been expired for more than 60 days, an individual must reapply for certification, meet all eligibility requirements in effect at the time of re-application, and pass the examination.

Recertification Appeal:

Candidates who are notified that they do not meet the recertification requirements may appeal this decision by sending a written notice of the appeal to the SPCB within 30 days of receipt of the adverse recertification decision.

The Board will review the information and make a final decision regarding eligibility. No new or additional information may be submitted with the appeal request. The recertification appeal is reviewed within 45 days of receipt. Written notice of the final decision is sent to the candidate within 30 days of the review.

III. Code of Conduct

Introduction

The SPCB Code of Conduct applies to each individual credentialed by the SPCB as a specialty pharmacist or related Specialty Pharmacy professional; and, each individual seeking certification from SPCB (candidates or applicants). In developing the SPCB Code of Conduct the Board reviewed many resources including the position statements published by a variety of pharmacy associations.

Specialty Pharmacists are responsible for maintaining medications that are often crucial for a patient's life. CSP's have an ethical obligation to serve their patients while advocating for their profession and managing pharmacy products and services in a fiscally responsible manner.

All applicants and certificants agree to the SPCB Code of Conduct (Code) as a condition of certification. Violation of any portion of the Code may result in disciplinary action as outlined in the Disciplinary Policy.

Purpose

The Code of Conduct establishes the basic ethical standards for the professional behavior of SPCB certificants and candidates. The Code is designed to provide both appropriate ethical practice guidelines and enforceable standards of conduct for all certificants and candidates.

Code of Conduct

The SPCB supports appropriate, professional standards designed to serve the public. SPCB certificants and candidates for certification provide Specialty Pharmacy services in a manner that promotes integrity and reflects positively on the profession, consistent with accepted moral, ethical, and legal standards.

Certificants and candidates have the obligations to practice Specialty Pharmacy in a manner consistent with the certification standards and responsibilities set forth below. This includes the obligations to maintain and demonstrate high standards of integrity and professional conduct; accept responsibility for their actions; continually seek to enhance their professional capabilities; practice with fairness and honesty; and, encourage others to act in a professional manner.

SECTION 1: ADHERENCE TO LEGAL REQUIREMENTS

1. Adhere to all laws, regulations, policies, and ethical standards that apply to the practice of Specialty Pharmacy.
2. Refrain from public behavior that is clearly in violation of professional, ethical, and/or legal standards that apply to the practice of providing Specialty Pharmacy services.
3. Refrain from discrimination in professional activities, including relationships with employees, employers, patients, customers and their families, and other professionals.

SECTION 2: ADHERENCE TO SPCB POLICIES & REQUIREMENTS

4. Follow all SPCB policies, procedures, requirements and rules. This includes the obligation to be aware of and understand these policies and requirements.
5. Provide accurate and complete information to SPCB concerning certification and recertification.
6. Keep confidential all examination information; including preventing unauthorized disclosures of exam information. No part of the examination may be copied, recorded, reproduced, shared, removed from the examination site or otherwise compromised in any manner.
7. Cooperate with SPCB regarding matters related to the Code of Conduct including complaint and/or disciplinary investigations.
8. Adhere to SPCB policies regarding the use and display of credentials awarded by the SPCB.

SECTION 3: SERVICE TO PATIENTS

9. Promote the interest and safety of patients in all aspects of practice, including industry interactions.
10. Treat patients with fairness and respect.
11. Work within the healthcare team to ensure optimal drug therapy outcomes to improve patients' quality of life.

SECTION 4: PROFESSIONAL PERFORMANCE

12. Act honestly in the conduct of responsibilities and in all professional interactions with others.
13. Deliver competent Specialty Pharmacy services.
14. Be accountable and responsible for his/her actions and behaviors.
15. Recognize the limitations of one's professional ability (based on education, knowledge, skills, and experience) and provide services only when qualified to do so.
16. Maintain the confidentiality of private and sensitive information, unless there is a legal obligation to disclose the information.

17. Properly use all professional licenses, titles, degrees and all credentials and provide accurate and truthful information regarding education, experience, qualifications, and the performance of services.
18. Disclose any conflicts of interest or potential conflicts of interest and avoid conduct that could cause a conflict of interest.
19. Adhere to the guidelines established by your regulatory body and employer regarding soliciting or accepting industry gifts.
20. Participate in industry-associated research only when that research meets accepted ethical, regulatory, and scientific standards.
21. Contribute professionally as an author only in health care related publications that meet accepted ethical, regulatory, and scientific standards.
22. Provide educational programs and materials with a fair and balanced presentation that meet guidelines as established by recognized accrediting bodies, are peer reviewed, and/or meet regulatory requirements.
23. Uphold high standards of professional behavior at all times in the specialty pharmacist and related Specialty Pharmacy role.

IV. Policies

Certification Verification

The names of certified individuals and their certification status are not considered confidential and will be published by the SPCB. The certification status for any individual may be verified by contacting the SPCB office. An individual's name and current certification status will be verified upon request. Application status, information about whether or not an individual has taken the exam, and score information will not be released.

Confidentiality

SPCB is committed to protecting confidential and/or proprietary information related to applicants; candidates; certificants; and the examination development, maintenance, and administration process.

Information about applicants / certificants, their application status, and their examination results is considered confidential. Exam scores will be released only to the individual candidate unless a signed release is provided. SPCB will not disclose confidential applicant /certificant information unless authorized in writing by the individual or as required by law.

The names of certified individuals are not considered confidential and may be published by the SPCB. Aggregate exam statistics (including the number of exam candidates, pass/fail rates, and total number of certificants) will be publicly available. Aggregate exam statistics, studies and reports concerning applicants /certificants will contain no information identifiable with any applicant, unless authorized in writing by the applicant / certificant.

Records Retention

All SPCB documents are retained according to the records retention policy. Confidential documents that are no longer required to be retained will be securely destroyed. Individual examination results and active candidate/certificant data are permanently retained as are records of disciplinary actions and investigations. Inactive applicant/certificant records are retained for seven years after the file becomes inactive.

Statement of Nondiscrimination

SPCB adheres to principles of fairness and due process and endorses the principles of equal opportunity. In administering the certification program, SPCB does not discriminate or deny opportunity to anyone on the basis of race, color, creed, age, gender, national origin, religion,

disability, marital status, parental status, ancestry, sexual orientation, military discharge status, source of income, or any other status protected by applicable law. All candidates for certification will be judged solely on the published eligibility and recertification criteria determined by the SPCB Board of Directors.

Statement of Compliance with all Laws

SPCB is committed to compliance with all applicable federal, state, and local laws and regulations including, but not limited to: confidentiality, nondiscrimination, employment, business, privacy, maintenance of records, and disabilities.

Reports of unlawful activity will be referred to appropriate law enforcement and/or licensing officials.

Use of the Credential

After receiving notification of certification, credentials may be used only as long as certification remains valid and in good standing. Individuals may not use the CSP, or any other credential awarded by SPCB, until they have received specific written notification that they have successfully completed all requirements, including passing the exam. Certificants must comply with all recertification requirements to maintain use of the credential. The certification mark may be used only as long as certification is valid, after which time certification must be renewed.

Certificants will receive a certificate that includes their name, credential awarded, and expiration date. The certificate may only be displayed during the time period for which the credential is valid. Certificates remain the property of SPCB and must be returned to SPCB upon request.

For individuals who hold multiple credentials, the preferred order is: highest academic degree followed by licensure and then national certifications.

Certification is a non-transferable, revocable, limited, non-exclusive license to use the certification designation "CSP", subject to compliance with the policies and procedures, as may be revised from time to time. Except as permitted by this policy, any use or display of SPCB certification marks and/or logos without the prior written permission of the SPCB Board is prohibited. Education and training providers may not use the SPCB name, logos, or certification marks to state or imply any approval or endorsement by SPCB or any affiliation with SPCB.

V. Complaints and Disciplinary Actions

In order to maintain and enhance the credibility of the SPCB certification program the SPCB has adopted the following procedures to allow individuals to bring complaints concerning the conduct of individuals who are candidates or certificants of the SPCB.

In the event an individual candidate or certificant violates the SPCB Code of Conduct, certification rules, or SPCB policies the SPCB Board of Directors may reprimand or suspend the individual or may revoke certification.

The grounds for sanctions under these procedures may include, but are not necessarily limited to:

1. Violation of the SPCB Code of Conduct.
2. Violation of established SPCB policies, rules and requirements.
3. Conviction of a felony or other crime of moral turpitude under federal or state/provincial law in a matter related to the practice of, or qualifications for, employment support services.
4. Failure to maintain professional licensure
5. Gross negligence, willful misconduct, or other unethical conduct in the performance of services for which the individual has achieved certification from SPCB.
6. Fraud or misrepresentation in an initial application or renewal application for certification.

Information regarding the complaint process will be available to the public via the SPCB web site or other published documents. A complete copy of this policy will be publicly available.

Actions taken under this policy do not constitute enforcement of the law, although referral to appropriate federal, state/provincial, or local government agencies may be made about the conduct of the candidate or certificant in appropriate situations. Individuals initially bringing complaints are not entitled to any relief or damages by virtue of this process, although they will receive notice of the actions taken.

Complaints

Complaints may be submitted by any individual or entity. Complaints should be reported to SPCB in writing and should include the name of the person submitting the complaint, the name of the person the complaint is regarding along with other relevant identifying information, a detailed description of factual allegations supporting the charges, and any relevant supporting documentation. Information submitted during the complaint and investigation process is

considered confidential and will be handled in accordance with SPCB's Confidentiality policy. Inquiries or submissions other than complaints may be reviewed and handled by the SPCB or its staff members at its discretion.

Upon receipt and preliminary review of a complaint involving the certification program the SPCB certification manager in consultation with the President of the Board of Directors may conclude, in their sole discretion, that the submission:

1. contains unreliable or insufficient information, or
2. is patently frivolous or inconsequential.

In such cases, the SPCB certification manager and President may determine that the submission does not constitute a valid and actionable complaint that would justify bringing it before the SPCB Board of Directors for investigation and a determination of whether there has been a violation of substantive requirements of the certification process. If so, the submission is disposed of by notice from the certification manager and President to its submitter, if the submitter is identified. All such preliminary dispositions by the President are reported to the Board of Directors at its next meeting.

Preliminary review will be conducted within 30 calendar days of receipt of the complaint.

If a submission is deemed by the President to be a valid and actionable complaint, the President shall see that written notice is provided to the candidate/certificant whose conduct has been called into question. The candidate/certificant whose conduct is at issue shall also be given the opportunity to respond to the complaint. The President also shall ensure that the individual submitting the complaint receives notice that the complaint is being reviewed by the SPCB Board of Directors.

Complaint Review

For each complaint that the President concludes is a valid and actionable complaint, the SPCB authorizes an investigation into its specific facts or circumstances to whatever extent is necessary in order to clarify, expand, or corroborate the information provided by the submitter.

The President appoints a Review Committee of three or more individuals, who may or may not be members of the SPCB Board of Directors to investigate and make an appropriate determination with respect to each such valid and actionable complaint; the Review Committee may review one or more such complaints as determined by the President. The Review Committee initially determines whether it is appropriate to review the complaint under these Procedures or whether the matter should be referred to another entity engaged in the administration of law. The timeline for responses and for providing any additional information

shall be established by the Review Committee. The review and investigation will be completed in an appropriate amount of time, not to exceed 6 months, unless there are extenuating circumstances that require an extended time period. The Review Committee may be assisted in the conduct of its investigation by other members of the SPCB or by SPCB staff or legal counsel. The President exercises general supervision over all investigations.

Both the individual submitting the complaint and the candidate/certificant who is the subject of the investigation (or his or her employer) may be contacted for additional information with respect to the complaint. The Review Committee, or the SPCB Board of Directors on its behalf, may at its discretion contact such other individuals who may have knowledge of the facts and circumstances surrounding the complaint.

All investigations and deliberations of the Review Committee and the SPCB are conducted in confidence, with all written communications sealed and marked "Personal and Confidential," and they are conducted objectively, without any indication of prejudgment. An investigation may be directed toward any aspect of a complaint which is relevant or potentially relevant. Formal hearings are not held and the parties are not expected to be represented by counsel, although the Review Committee and SPCB may consult their own counsel.

Members of the Review Committee shall be reimbursed for reasonable expenses incurred in connection with the activities of the Committee.

Determination of Violation

Upon completion of an investigation, the Review Committee recommends whether the SPCB should make a determination that there has been a violation of SPCB policies and rules. When the Review Committee recommends that the SPCB Board of Directors find a violation, the Review Committee also recommends imposition of an appropriate sanction. If the Review Committee so recommends, a proposed determination with a proposed sanction is prepared under the supervision of the President and is presented by a representative of the Review Committee to the SPCB along with the record of the Review Committee's investigation.

If the Review Committee recommends against a determination that a violation has occurred, the complaint is dismissed with notice to the candidate/certificant, the candidate/certificant's employer, and the individual or entity who submitted the complaint; a summary report is also made to the SPCB Board of Directors.

The SPCB reviews the recommendation of the Review Committee based upon the record of the investigation. The SPCB may accept, reject, or modify the Review Committee's recommendation, either with respect to the determination of a violation or the recommended

sanction to be imposed. If the SPCB makes a determination that a violation has occurred, this determination and the imposition of a sanction are promulgated by written notice to the candidate/certificant, and to the individual submitting the complaint, if the submitter agrees in advance and in writing to maintain in confidence whatever portion of the information is not made public by the SPCB.

In certain circumstances, the SPCB may consider a recommendation from the Review Committee that the candidate/certificant who has violated the certification program policies or rules should be offered an opportunity to submit a written assurance that the conduct in question has been terminated and will not recur. The decision of the Review Committee to make such a recommendation and of the SPCB to accept it are within their respective discretionary powers. If such an offer is extended, the candidate/certificant at issue must submit the required written assurance within thirty days of receipt of the offer, and the assurance must be submitted in terms that are acceptable to the SPCB. If the SPCB accepts the assurance, notice is given to the candidate/certificant's employer and to the submitter of the complaint, if the submitter agrees in advance and in writing to maintain the information in confidence.

Sanctions

Any of the following sanctions may be imposed by the SPCB upon a candidate/certificant whom the SPCB has determined to have violated the policies and rules of its certification program(s), although the sanction applied must reasonably relate to the nature and severity of the violation, focusing on reformation of the conduct of the member and deterrence of similar conduct by others:

1. written reprimand to the candidate/certificant;
2. suspension of the certificant for a designated period; or
3. suspension of the candidate's application eligibility for a designated period; or
4. termination of the certificant's certification from the SPCB; or
5. termination of the candidate's application eligibility for a designated period.

For sanctions that include suspension or termination, a summary of the final determination and the sanction with the candidate/certificant's name and date is published by the SPCB. This information will be published only after any appeal has either been considered or the appeal period has passed.

Reprimand in the form of a written notice from the President normally is sent to a candidate/certificant who has received his or her first substantiated complaint. Suspension normally is imposed on a candidate/certificant who has received two substantiated complaints.

Termination normally is imposed on a candidate/certificant who has received two substantiated complaints within a two year period, or three or more substantiated complaints. The SPCB may at its discretion, however, impose any of the sanctions, if warranted, in specific cases.

Certificants who have been terminated shall have their certification revoked and may not be considered for SPCB certification in the future. If certification is revoked, any and all certificates or other materials requested by the SPCB must be returned promptly to the SPCB.

Appeal

Within thirty (30) days from receipt of notice of a determination by the SPCB that a candidate/certificant violated the certification program policies and/or rules, the affected candidate/certificant may submit to the SPCB in writing a request for an appeal.

Upon receipt of a request for appeal, the President of the SPCB establishes an appellate body consisting of at least three, but not more than five, individuals. This Appeal Committee may review one or more appeals, upon request of the President. No current members of the Review Committee or the SPCB may serve on the Appeal Committee; further, no one with any personal involvement or conflict of interest may serve on the Appeal Committee. Members of the Appeal Committee may be reimbursed for reasonable expenses incurred in connection with the activities of the Committee.

The Appeal Committee may only review whether the determination by the SPCB of a violation of the certification program policies and/or rules was inappropriate because of:

1. material errors of fact, or
2. failure of the Review Committee or the SPCB to conform to published criteria, policies, or procedures.

Only facts and conditions up to and including the time of the SPCB's determination as represented by facts known to the SPCB are considered during an appeal. The appeal shall not include a hearing or any similar trial-type proceeding. Legal counsel is not expected to participate in the appeal process, unless requested by the appellant and approved by the SPCB and the Appeal Committee. The SPCB and Appeal Committee may consult legal counsel.

The Appeal Committee conducts and completes the appeal within ninety days after receipt of the request for an appeal. Written appellate submissions and any reply submissions may be made by authorized representatives of the member and of the SPCB. Submissions are made according to whatever schedule is reasonably established by the Appeal Committee. The

decision of the Appeal Committee either affirms or overrules the determination of the SPCB, but does not address a sanction imposed by the SPCB.

The Appeal Committee decision is binding upon the SPCB, the candidate/certificant who is subject to the termination, and all other persons.

Resignation

If a certificant who is the subject of a complaint voluntarily surrenders his or her SPCB certification at any time during the pendency of a complaint under these Procedures, the complaint is dismissed without any further action by the Review Committee, the SPCB, or an Appeal Committee established after an appeal. The entire record is sealed and the individual may not reapply for certification by the SPCB. However, the SPCB may authorize the President to communicate the fact and date of resignation, and the fact and general nature of the complaint which was pending at the time of the resignation, to or at the request of a government entity engaged in the administration of law. Similarly, in the event of such resignation, the certificant's employer and the person or entity who submitted the complaint are notified of the fact and date of resignation and that SPCB has dismissed the complaint as a result.